

FORM PTO-1390

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**

50212-604

U.S. APPLIC. NO. (if known, see 37 CFR 1.5)

10/501512

INTERNATIONAL APPLICATION NO.
PCT/JP03/00289

INTERNATIONAL FILING DATE
January 15, 2003

PRIORITY DATE CLAIMED
January 15, 2002

TITLE OF INVENTION
OPTICAL WAVEGUIDE MODULE

APPLICANTS FOR DO/EO/US

Takeo KOMIYA, Takashi SASAKI, Yasushi FUJIMURA, Tsukuru KATSUYAMA and Naoyuki YAMABAYASHI

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☒ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendment has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern other document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A FIRST preliminary amendment.
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information.
 1. International Search Report prepared by the JPO.
 2. Front page of Published International Application.
 3. PCT/IB/304 & 308.

U.S. APPLIC. NO. (if known, see 37 CFR 1.50) 10/501512		INTERNATIONAL APPLICATION NO. PCT/JP03/00289		ATTORNEY'S DOCKET NUMBER 50212-604								
				CALCULATIONS	PTO USE ONLY							
17. <input checked="" type="checkbox"/> The following fees are submitted: <div style="display: flex; justify-content: space-between;"> <div> Basic National Fee (37 CFR 1.492(a)(1)-(5)): Search Report has been prepared by the EPO or JPO International preliminary examination fee paid to USPTO (37 CFR 1.482) No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)) Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4) </div> <div style="text-align: right;"> \$920.00 \$730.00 \$770.00 \$1,080.00 \$100.00 </div> </div> <div style="text-align: right; margin-top: 10px;"> ENTER APPROPRIATE BASIC FEE AMOUNT = </div>												
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input checked="" type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$ 130.00								
Claims	Number Filed	Number Extra	Rate									
Total Claims	13 -20 =	0	x \$18.00	\$0.00								
Independent Claims	1 -3 =	0	x \$86.00	\$0.00								
Multiple dependent claim(s) (if applicable)			+ \$290.00	\$0.00								
TOTAL OF ABOVE CALCULATIONS =				\$1,050.00								
Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed. (Note 37 CFR 1.9, 1.27, 1.28).				\$0.00								
SUBTOTAL =				\$1,050.00								
Processing fee of \$130.00 for furnishing the English translation later than the <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$ 0.00								
TOTAL NATIONAL FEE =				\$1,050.00								
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				\$ 0.00								
TOTAL FEES ENCLOSED =				\$1,050.00								
				Amount to be: refunded	\$							
				charged	\$1,050.00							
a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed. b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. <u>500417</u> in the amount of \$ <u>1,050.00</u> to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>500417</u> . A duplicate copy of this sheet is enclosed.												
NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.												
SEND ALL CORRESPONDENCE TO:												
Arthur J. Steiner McDERMOTT WILL & EMERY LLP 600 13 th Street, N.W. Washington, DC 20005-3096 (202) 756-8000 Facsimile (202) 756-8087 BASED ON FORM PTO-1390 (Rev. 5-93)			<div style="text-align: center; margin-bottom: 10px;"> </div> <table border="1" style="width:100%; border-collapse: collapse;"> <tr><td style="padding: 2px;">SIGNATURE</td></tr> <tr><td style="padding: 2px;">Arthur J. Steiner</td></tr> <tr><td style="padding: 2px;">NAME</td></tr> <tr><td style="padding: 2px;">26,106</td></tr> <tr><td style="padding: 2px;">REGISTRATION NUMBER</td></tr> <tr><td style="padding: 2px;">July 15, 2004</td></tr> <tr><td style="padding: 2px;">DATE</td></tr> </table>			SIGNATURE	Arthur J. Steiner	NAME	26,106	REGISTRATION NUMBER	July 15, 2004	DATE
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